

***Remarks***

Reconsideration of this Application is respectfully requested.

Upon entry of the foregoing amendment, claims 1-28 are pending in the application, with claims 1, 14, 21, 27, and 28 being the independent claims. Claims 1, 2, 4, 9, 11-14, 19, 21, 22, 27, and 28 are sought to be amended. Support for the amendments is found at least at, for example, paragraphs [0018], [0019], [0049], [0053], [0057], [0086], [0089], and [0093] and FIG. 7, and in original claim 5 of the originally filed specification. These changes are believed to introduce no new matter, and their entry is respectfully requested.

Based on the above amendment and the following remarks, Applicants respectfully request that the Examiner reconsider all outstanding rejections and that they be withdrawn.

***Statement of Substance of Examiner Interview***

Further to the Interview Summary mailed December 3, 2009, Applicants submit the following Statement of Substance of Interview conducted between the Examiner and Applicants' representative, Randall K. Baldwin, on November 24, 2009. Applicants' representatives gratefully acknowledge the courtesies extended to them by the Examiner in granting a telephone interview on November 24, 2009, during which discussions with Applicants' representative, Randall K. Baldwin, the Examiner clarified his comments regarding his interpretation of the teachings of the applied references. In particular, the Examiner clarified his comments regarding claims 1, 14, 21, 27, and 28 and the teachings of Serbinis and Leser. Applicants' representative also discussed distinctions between claims 1, 14, 21, 27, and 28 and the applied references. Applicants'

representative additionally discussed with the Examiner the suggested claim language to convey the aforementioned distinction between the applied references and the claims. No agreement was reached on specific claim language. The substance of the discussion and arguments in the telephone interview is included in the present remarks.

***Rejection under 35 U.S.C. § 102***

The Examiner rejected claims 1-9, 11, 13-18, and 27 under 35 U.S.C. § 102(e) as allegedly being anticipated by U.S. Patent No. 6,584,466 to Serbinis *et al.* ("Serbinis").

With regard to the Examiner's response on pages 2-8 of the Office Action to Applicants' previously-submitted arguments and the statements on pages 9-14 of the Office Action in which the Examiner continues to characterize Serbinis as disclosing all of the features recited in claims 1-9, 11, 13-18 and 27, Applicants disagree and traverse for the reasons stated below.

***Independent Claims 1, 14, and 27***

Independent claim 1 as amended herein recites the following features:

wherein the process-driven security policy includes a plurality of different states and transition rules, and wherein each of the different states is associated with one or more access restrictions, and wherein ***each of the different states has distinct access restrictions for secured documents which reside in that state***, and wherein the transition rules specify circumstances under which a secured document is to transition from one state to another, and ***wherein the circumstances include the occurrence and internal and external events***[.]

Independent claims 14 and 27 recite similar features, using analogous language. For example, claim 14 as amended herein recites a method for transitioning at least one secured document through a security-policy state machine having a plurality of different states, ***each of the plurality of different states having distinct access restrictions for***

*secured documents which reside in that state*, the method comprising: *receiving an event, wherein the event is one of a group of internal and external events*[.]

Claim 27 as amended herein recites, among other features:

*instructions to detect an occurrence of an event, wherein the event is one of a group of internal and external events*; and

*instructions to determine whether the event causes a state transition for at least one secured document from a former state to a subsequent different state of a security-policy state machine having a plurality of different states, each of the plurality of different states having distinct access restrictions for secured documents which reside in that state*[.]

Serbinis does not disclose that "transition rules specify circumstances under which a secured document is to transition from one state to another, and wherein the circumstances include the occurrence and internal and external events," as recited in claim 1. Serbinis also fails to disclose "receiving an event, wherein the event is one of a group of internal and external events" as recited, using respective language, in claims 14 and 27. Anticipation under 35 U.S.C. § 102 requires showing the presence in a single prior art reference disclosure of each and every element of the claimed invention, arranged as in the claim. See *Lindemann Maschinenfabrik GMBH v. American Hoist & Derrick*, 221 U.S.P.Q. 481, 485 (Fed. Cir. 1984). Applicants submit that Serbinis does not disclose at least the above-noted distinguishing features of claims 1, 14, and 27.

Serbinis fails to disclose "wherein the transition rules specify circumstances under which a secured document is to transition from one state to another, and wherein the circumstances include the occurrence of internal and external events" as recited, using respective similar language, in claims 1, 14, and 27. Serbinis may describe that "[d]ocument instances with a "pending" state have an active date/time that specifies the time at which the state of the document instance should be changed to "active""

(Serbinis, col. 8, lines 5-8). However, Applicants submit that triggering a change from a pending state to an active state based on a date and time is not analogous to "wherein the circumstances include the occurrence and internal and external events," as recited in claim 1. Serbinis discloses that within the document management service (DMS) system "[d]ocument instances are marked as "canceled" when an Authorized User (typically the Originator) forces a document to expire before the expiration time" (Serbinis, col. 3, lines 50-51, col. 8, lines 26-29). Serbinis further discloses that "according to the authorization information *submitted by a document originator*, new document rights, document group rights and document instance rights are created for the document" in the DMS system and that "the Authorized User is a *pre-registered* Authorized *User* with *trusted credentials*" (Serbinis, col. 7, lines 57-64 and col. 13, lines 13-14). Applicants submit when such "Authorized Users" and "document originators" forces a document to expire, this is an internal event within Serbinis' DMS system. Nowhere does Serbinis disclose "receiving an event, wherein the event is one of a group of internal and external events" as recited, using respective language, in claims 14 and 27. In contrast to what is recited in claims 1, 14, and 27, Serbinis' system "automatically modifies the state of a document instance based on its current state, the active date/time, and expiration date/time" (Serbinis, col. 7, lines 63-65). In Serbinis' system, a document instance transitions based only when "expiry date" in the system is reached, "when the expiration time is reached," "after a pre-determined amount of time," or "when an Authorized User (typically the Originator) forces a document to expire before the expiration time" within the DMS system (Serbinis, col. 7, lines 32-37 and 63-65, col. 8, lines 12-29). In Serbinis' system, "[t]he state of these documents is changed to "deleted" *after a pre-determined amount of time*" (Serbinis, col. 8, lines 18-20) (emphasis added). Thus, Serbinis is

limited to automatic modification of a state of a document instance based on the passage of a predetermined amount of time, reaching a predetermined expiration date/time, or when an authorized user of the DMS system sets an expiration time within the DMS system. Therefore, Serbinis fails to teach or suggest that each of the different states has distinct access restrictions for secured documents which reside in that state, wherein the transition rules specify circumstances under which a secured document is to transition from one state to another, and wherein the circumstances include the occurrence and internal and external events, as recited, using respective similar language, in claims 1, 14, and 27.

Further, as discussed during the aforementioned telephonic interview, in Serbinis' system "[s]tates for a document instance" are limited to "'pending," "active," "archived," "canceled" and "deleted'" (Serbinis, col. 7, line 67 - col. 8, line 1). In contrast to the above-noted distinguishing features of claims 1, 14, and 27, Serbinis describes that "[c]anceled document instances then are treated like archived document instances" (Serbinis, col. 8, lines 26-31). Thus, Serbinis fails to teach or suggest at least wherein each of the *different states* is associated with one or more access restrictions, and wherein *each of the different states has distinct access restrictions for secured documents which reside in that state*, as recited, using respective language, in claims 1, 14, and 27. Even assuming for the sake of argument that the Examiner's interpretation of Serbinis' states for a document instance is correct (which Applicants disagree with), Serbinis, in the sections cited by the Examiner, or in other sections, contains no disclosure of the above-quoted distinct access restriction features of claims 1, 14, and 27. As discussed during the aforementioned interview, Applicants submit that Serbinis' document instance states are not analogous to a "process-driven security policy" which

"includes a plurality of different states and transition rules . . . wherein each of the different states has distinct access restrictions for secured documents which reside in that state" as recited, using similar respective language, in claims 1, 14, and 27.

Thus, Serbinis does not anticipate at least the above distinguishing features recited in independent claims 1, 14, and 27.

Dependent claims 2-13, which depend upon independent claim 1, are allowable for at least being dependent from allowable independent claim 1, in addition to their own respective distinguishing features. See *In Re Fine*, 837 F.2d 1071 (Fed. Cir. 1988) and M.P.E.P. § 2143.03. Further, claim 9 as amended recites "wherein the external events originate from a second document security system." Applicants submit that Serbinis also fails to disclose this feature. For this additional reason, claim 9 should be found allowable over the applied reference. Moreover, claim 13 as amended herein recites, "in response to determining, by the access manager, that access to a secured document is permitted by a requestor, access to the secured document is available at a client machine associated with the requestor." Applicants submit that Serbinis also fails to disclose this feature. For this additional reason, claim 13 should be found allowable over the applied reference. Also, at least based on their respective dependencies to claim 14, claims 15-20 should be found allowable, as well as for their additional respective distinguishing features.

***Rejections under 35 U.S.C. § 103***

Claim 10 was rejected under 35 U.S.C. §103(a) as being allegedly unpatentable over Serbinis in view of U.S. Patent Publication No. 2004/0193912 to Li *et al.* ("Li").

Claims 12, 19 and 20 were rejected under 35 U.S.C. §103(a) as being allegedly unpatentable over Serbinis in view of U.S. Patent No. 6,341,164 to Dilkie *et al.* ("Dilkie").

Claims 21-26 and 28 were rejected under 35 U.S.C. §103(a) as being allegedly unpatentable over Serbinis in view of U.S. Patent Publication No. 2005/0028006 to Leser *et al.* ("Leser"). Applicants respectfully traverse these rejections for the reasons stated below.

Claims 10, 12, 19, and 20 depend upon claim 1. As discussed above, claim 1 is allowable over Serbinis. Thus, claims 10, 12, 19, and 20 are allowable for at least being dependent from allowable independent claim 1, in addition to their own respective distinguishing features.

Regarding the Examiner's statements on page 20 of the Office Action, in which the Examiner asserts that the allegedly obvious combination of Serbinis and Leser discloses the method and computer readable medium recited in claims 21 and 28, respectively, Applicants disagree and traverse for the reasons stated below.

Claim 21 as amended herein recites, *inter alia*:

providing at least one process-driven security policy at a server computer, wherein the process-driven security policy is associated with a plurality of different states, and ***wherein each of the different states has distinct access restrictions for secured documents which reside in that state***; and

transitioning the process-driven security policy from one state to a current state in response to the occurrence of an event, ***wherein the event is one of a group of internal and external events***[.]

Claim 28 as amended herein recites, among other features:

wherein the process-driven security policy has a plurality of different states and transition rules associated therewith, and ***wherein each of the different states has distinct access restrictions for secured***

***documents which reside in that state***, and wherein the transition rules specify circumstances under which an electronic document is to transition from one state to another, and ***wherein the circumstances include the occurrence of internal and external events***[.]

Claims 21 and 28 as amended herein recite a method and a computer readable storage medium, respectively, with distinguishing features similar to claim 27, and thus are patentable over Serbinis for similar reasons as discussed above with regards to claim 27. As discussed above with regards to a similar feature recited in claim 27, Serbinis does not teach or suggest transitioning the process-driven security policy from one state to a current state in response to the occurrence of an event, wherein the event is one of a group of internal and external events, as recited in amended claim 21. As discussed above with regards to claim 27, Serbinis also fails to disclose wherein each of the different states has distinct access restrictions for secured documents which reside in that state, as recited in claim 21. Similarly, Serbinis also fails to teach or suggest wherein the circumstances include the occurrence of internal and external events or wherein each of the different states has distinct access restrictions for secured documents which reside in that state, as recited in amended claim 28.

As acknowledged by the Examiner, Serbinis does not disclose providing a reference to the process-driven security policy at a client machine, wherein the reference refers to the process-driven security policy resident on the server machine and associating the reference to an electronic document as recited, using respective language, in claims 21 and 28 (Office Action, page 20).

Rather, the Examiner relies on Leser to teach or suggest these features. The Examiner asserts, to which Applicants do not acquiesce to, that Leser discloses the above-noted features of claims 21 and 28 and that it would have been obvious to “cache



[the] security-policy of the system of Serbinis into the user's computers thereby enabling them to generate and or use protected document[s] while they are off-line" (Office Action, pages 20 and 21). However, Leser is not stated by the Examiner to teach, nor does it teach or suggest, wherein each of the different states has distinct access restrictions for secured documents which reside in that state or wherein the event is one of a group of internal and external events, as recited, using respective similar language, in claims 21 and 28. Therefore, Leser cannot cure the deficiencies of Serbinis, and cannot be used to establish a *prima facie* case of obviousness with regards to claims 21 and 28.

Thus, the allegedly obvious combination of Serbinis and Leser fails to teach or suggest at least the above-noted distinguishing features recited in amended claims 21 and 28.

Claims 22-26, which depend from claim 21, are allowable for at least being dependent from allowable independent claim 21, in addition to their own respective distinguishing features.

Accordingly, Applicants respectfully request that the Examiner reconsider and withdraw rejection of claims 21-26 and 28, and find them allowable over the applied references.

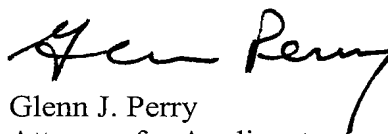
***Conclusion***

All of the stated grounds of rejection have been properly traversed, accommodated, or rendered moot. Applicants therefore respectfully request that the Examiner reconsider all presently outstanding rejections and that they be withdrawn. Applicants believe that a full and complete reply has been made to the outstanding Office Action and, as such, the present application is in condition for allowance. If the Examiner believes, for any reason, that personal communication will expedite prosecution of this application, the Examiner is invited to telephone the undersigned at the number provided.

Prompt and favorable consideration of this Amendment and Reply is respectfully requested.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Glenn J. Perry  
Attorney for Applicants  
Registration No. 28,458

Date: 8 Jan. 2010

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

1041162\_2.DOC